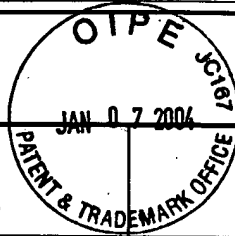| TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT<br>(Under 37 CFR 1.97(b) or 1.97(c)) | Docket No.<br>BerganoC3 |
|---|---|

In Re Application Of:    Neil S. Bergano

| Serial No.<br>10/689,484 | Filing Date<br>10/20/2003 | Examiner | Group Art Unit |
|---|---|---|---|

Title:  **SYNCHRONOUS AMPLITUDE MODULATION FOR IMPROVED PERFORMANCE OF OPTICAL TRANSMISSION SYSTEMS**

Address to:
**Commissioner for Patents
P.O. Box 1450
Alexandria, VA  22313-1450**

### 37 CFR 1.97(b)

1. ☒  The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application other than a continued prosecution application under 37 CFR 1.53(d); within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; before the mailing of a first Office Action on the merits, or before the mailing of a first Office Action after the filing of a request for continued examination under 37 CFR 1.114.

### 37 CFR 1.97(c)

2. ☐  The Information Disclosure Statement submitted herewith is being filed after the period specified in 37 CFR 1.97(b), provided that the Information Disclosure Statement is filed before the mailing date of a Final Action under 37 CFR 1.113, a Notice of Allowance under 37 CFR 1.311, or an Action that otherwise closes prosecution in the application, and is accompanied by one of:

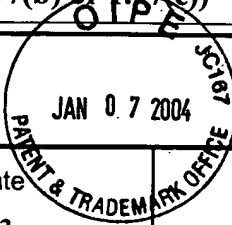☐  the statement specified in 37 CFR 1.97(e);

**OR**

☐  the fee set forth in 37 CFR 1.17(p).

P10A/REV02

| TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT<br>(Under 37 CFR 1.97(b) or 1.97(c)) | Docket No.<br>BerganoC3 |
|---|---|

**In Re Application:** Neil S. Bergano

JAN 0 7 2004

| Serial No.<br>10/689,484 | Filing Date<br>10/20/2003 | Examiner | Group Art Unit |
|---|---|---|---|

### SYNCHRONOUS AMPLITUDE MODULATION FOR IMPROVED PERFORMANCE OF OPTICAL TRANSMISSION SYSTEMS

## Payment of Fee

### (Only complete if Applicant elects to pay the fee set forth in 37 CFR 1.17(p))

☐ A check in the amount of        is attached.

☐ The Director is hereby authorized to charge and credit Deposit Account No. _____

  as described below.

    ☐ Charge the amount of

    ☐ Credit any overpayment.

    ☐ Charge any additional fee required.

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| I certify that this document and authorization to charge deposit account is being facsimile transmitted to the United States Patent and Trademark Office (F: | I certify that this document and fee is being deposited on **January 5, 2004** with the U.S. Postal Service as first class mail under 37 C.F.R. 1.8 and is addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450. |
| _____<br>**(Date)** | |
| *Signature* | *Signature of Person Mailing Correspondence*<br>Jennifer L. Hobbs |
| *Typed or Printed Name of Person Signing Certificate* | *Typed or Printed Name of Person Mailing Certificate* |

**\*This certificate may only be used if paying by deposit account.**

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*Signature*

Donald J. Perreault
Attorney for Applicant
Reg. No. 40,126
Grossman, Tucker, Perreault & Pfleger, PLLC
55 South Commercial Street
Manchester, NH 03101

Dated: **January 5, 2004**

CC:
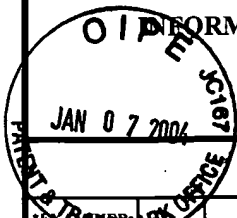
# INFORMATION DISCLOSURE CITATION

*(Use several sheets if necessary)*

| | |
|---|---|
| Docket Number (Optional)<br>**BerganoC3** | Application Number<br>**10/689,484** |
| Applicant(s)<br>**Bergano** | |
| Filing Date<br>**10/20/2003** | Group Art Unit |

## U.S. PATENT DOCUMENTS

| *EXAMINER<br>INITIAL | REF | DOCUMENT NUMBER | DATE | NAME | CLASS | SUBCLASS | FILING DATE<br>IF APPROPRIATE |
|---|---|---|---|---|---|---|---|
| | | 5,477,375 | 12/19/1995 | Korotky et al | 359 | 264 | |
| | | 6,407,842 | 06/18/2002 | Ma | 359 | 173 | |
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## FOREIGN PATENT DOCUMENTS

| | REF | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUBCLASS | Translation YES | Translation NO |
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## OTHER DOCUMENTS   *(Including Author, Title, Date, Pertinent Pages, Etc.)*

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| EXAMINER | DATE CONSIDERED |
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EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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